



PATENT APPLICATION
Docket No: 10735.4

06-14-02
Gw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Wade W. Henriksen, et al.

Serial No.: 10/039,665

Filed: January 4, 2002

For: APPARATUS AND METHODS FOR
MAKING FROZEN FOOD PRODUCTS

Examiner:

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

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Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which

the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Dated this 16th day of May 2002.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Berne S. Broadbent', with a stylized flourish at the end.

Berne S. Broadbent
Attorney for Applicants
Registration No. 30,550

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BSB/mlc

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INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

10735.4

Application Number

10/039,665

Applicant(s)

Wade W. Henriksen

Filing Date

January 4, 2002

Group Art Unit

1761

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | * FILING DATE IF APPROPRIATE |
|----------------------|-----|-----------------|------------|---------------|-------|----------|---------------------------------|
| | 1 | 5,706,720 | 01/13/1998 | Goch, et al. | 99 | 455 | 10/31/1996 |
| | 2 | 4,793,151 | 12/27/1988 | Masel, et al. | 62 | 306 | 04/01/1987 |
| | 3 | 3,742,724 | 07/03/1973 | Carpigiani | 62 | 331 | 03/27/1972 |
| | 4 | 3,000,194 | 09/19/1961 | Carpigiani | 62 | 342 | 06/23/1960 |
| | 5 | 2,702,992 | 03/01/1955 | Mooser | 62 | 114 | 03/13/1951 |
| | 6 | 2,416,326 | 02/25/1947 | Knibb | 62 | 114 | 11/06/1942 |
| | 7 | 1,956,322 | 04/24/1934 | Grant | 259 | 113 | 11/04/1932 |
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FOREIGN PATENT DOCUMENTS

| REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
|-----|-----------------|------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER

DATE CONSIDERED

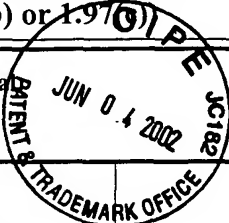
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

GAU 161

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
10735.4

In Re Application Of: Wade W. Henriksen, et al



Serial No.
10/039,665

Filing Date
January 4, 2002

Examiner
Unknown

Group Art Unit
1761

Title: **APPARATUS AND METHODS FOR MAKING FROZEN FOOD PRODUCTS**

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

- ☒ Information Disclosure Statement Under 37 C.F.R. § 1.97.

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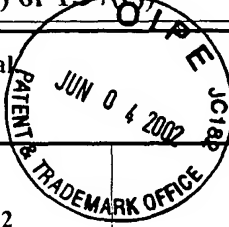
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Serial No.
10/039,665

Filing Date
January 4, 2002

Examiner
Unknown

Group Art Unit
1761

Title: APPARATUS AND METHODS FOR MAKING FROZEN FOOD PRODUCTS

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
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I certify that this document and fee is being deposited on May 16, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Margaret Carlson

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Signature

Dated: May 16, 2002

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